



REQUEST FOR APPLICATIONS UPSTART

CAPACITY BUILDING GRANT | FY20 GUIDELINES

Application Release: Friday | May 3, 2019

Application Deadline: Friday | June 21, 2019 | 4:00 pm ET

FY 2020 Funding

The grant period is from October 1, 2019 to September 30, 2020. Grant funds may not be used for activities or expenses that occur outside of the grant period.

Funding Requests

Organizations may request up to \$50,000. Applicants may submit one (1) Upstart application per grant cycle.

Applicants should read through these guidelines in their entirety prior to submitting an application.

Staff Contact: Benjamin Douglas, Grants Program Manager | benjamin.douglas@dc.gov

Established in 1968, the Commission on the Arts and Humanities (CAH) supports programs that promote progress in the arts and humanities through grants, professional opportunities, and other services to individuals and nonprofit organizations in all communities within the District of Columbia.

As the designated state arts agency for the District, CAH is an agency of the Planning and Economic Development Cluster of the Executive Branch of the District government, and is supported primarily through District government funds and in part by the National Endowment for the Arts.

Government of the District of Columbia
Commission on the Arts and Humanities
200 I Street, SE, Suite 1400, Washington, DC 20003
202-724-5613 | dcarts.dc.gov

UPSTART (UPS) CAPACITY-BUILDING GRANT

Grant Program Overview and Goals | UPS

The UPS grant program provides capacity building support to established DC-based arts and humanities nonprofit organizations that face operational and infrastructure challenges inhibiting their organizational and programmatic sustainability.

Upstart is designed to support arts and humanities organizations with intensive technical assistance through consulting and funding for core administrative systems, leadership development and operating reserves. Projects funded through Upstart typically include consulting services for projects such as information technology, communications or fundraising strategy, organizational development, executive coaching, financial management, strategic planning and governance. Each grantee's participation is overseen by external consultants who are contracted by CAH to administer the organizational assessments and work directly with participants on planning and implementing their capacity building projects.

Grants funds are applicable only to expenses incurred during CAH's Fiscal Year 2020 ("FY 2020"), which occurs from October 1, 2019 to September 30, 2020, and which is referred to as the "Grant Period" in this document.

By making its UPS grant awards, CAH endeavors to meet the following goals, and an applicant's submission should offer consideration to these goals:

- Advance organizational sustainability by supporting effective strategies to assist in successful mission fulfillment;
- Provide an in-depth organizational assessment to focus on strengthening an organization's operational capacity to achieve manageable strategic initiatives; and,
- Cultivate a peer-leadership network among Upstart program grantees that encourages mutual professional development.

Operating Reserve and Cash-Match Requirements

Up to \$15,000 of the Upstart award may be used to create or expand a board-approved operating reserve fund. Grantees are not required to have an operating reserve in place prior to receiving an Upstart award. If a grantee has an operating reserve policy in place, the organization must be in good standing with its own policy.

To access the operating reserve funds, Upstart consultants will work with a grantee's board and staff to create an operating reserve policy or adjust an existing policy, which will be submitted by the consultant to CAH along with the work plan for approval. Grantees must present

evidence of clearly articulated policies about the management of the reserve that have been formulated and ratified by its Board of Directors by the end of the Upstart grant period.

The reserve fund amount requires a 1:1 match of new and/or increased donations, designed to help grantees leverage Upstart funds to increase contributed revenue. In-kind contributions, CAH, or other District Government funds may not be used to satisfy the match requirement of this grant. Grantees will be responsible for demonstrating the income for the match to the Upstart consultant.

There is no cash-match requirement for the capacity building projects.

Description of UPS Grant Projects

The Upstart program has four structured components that are mandatory for each participant:

1. CAH's Upstart consultants assess the participant's operations and finances to produce a written report outlining the organization's most urgent challenges;
2. From the assessment report, organizational leadership and the Upstart consultants develop a project work plan with goals, milestones and associated project budget, which is sent to CAH for approval;
3. Upstart grant funds are expended on capacity building projects as outlined in the CAH-approved work plan and budget; and,
4. Organizational leadership attends up to three Upstart-specific peer learning sessions throughout the grant period.

Funding Amounts and Special Requirements

Successful applicants are provisionally awarded \$50,000. However, the final Upstart grant amounts are determined once Upstart consultants assess the organization, identify capacity building projects and work with the organization's leadership to develop work plans and budgets for CAH approval. CAH, in consultation with the Upstart program consultants, will make a recommendation for a final grant amount to support the capacity building projects. The final amount will be determined by CAH's Board of Commissioners.

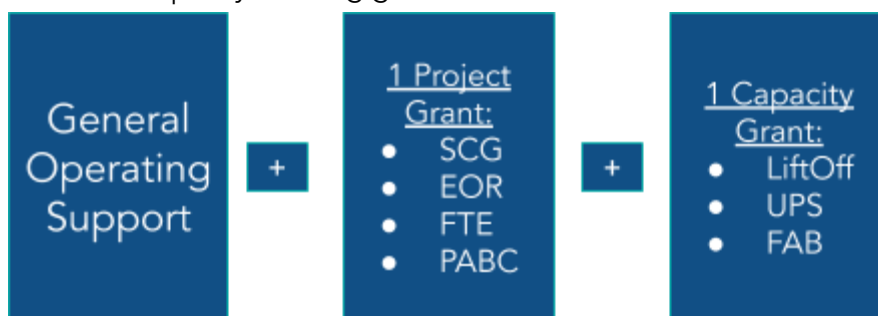
Funding may only cover costs associated with capacity building projects that directly relate to the work plan developed in collaboration with the Upstart consultants. Funds may not be used to support: salaries for new or existing permanent staff positions; general operating expenses; purchase of land or property; technology and equipment not pertaining to capacity building needs; or funding of pre-existing debts, expenses or obligations incurred by the organization. More information about allowable costs can be found in the "Funding Restrictions" section.

General Eligibility and Restrictions

Organizations that have accepted an "intent to fund" notification for General Operating Support (GOS) may apply for one of the following CAH project-based grant programs: Sister Cities (SCG), Field Trip Experiences (FTE) and Public Art Building Communities (PABC). Those organizations may also apply for one of the following CAH capacity-building programs: LiftOff,

Upstart (UPS) or Facilities and Buildings (FAB), unless otherwise specified in the guidelines of each grant program.

The Council of the District of Columbia ("Council") may decide, during the District's annual budget process, to identify one or more arts and humanities organizations that will receive a "Budget Enhancement Grant." If an organization receives CAH funding through one of the above-referenced CAH grant programs ("CAH Grant Award Funds") and the Council awards to that same organization an additional Budget Enhancement Grant, that organization will be required to return to CAH all of the CAH Grant Award Funds that were issued to it as part of CAH's project-based or capacity building grants.



Eligibility Requirements of Applicants:

UPSTART-SPECIFIC:

- Operate with a budget between \$250,000 and \$1,250,000 in cash, as evidenced on the organization's most recent IRS Form 990;
- Employ at least one full-time, salaried administrative staff member earning at least DC's minimum wage, subject to IRS Form W2 verification;
- No recipient may receive more than two (2) consecutive years of Upstart funding before taking at least three (3) fiscal years off from applying; and,
- Have organization's senior leadership attend the Upstart workshop, occurring in person on June 11, 2019, or online. (Recent Upstart recipients may contact Grants Programs Manager Benjamin Douglas for additional information regarding workshop attendance.)

CAH-SPECIFIC:

- Be incorporated as a nonprofit with a federally designated tax exempt status under section 501(c)(3) of the United States Internal Revenue Service (IRS) code, as evidenced by an IRS determination letter that is dated at least one year prior to the application deadline date;
- Be registered with, and authorized to do business in, the District as either a "Domestic" entity (that is, an entity that was incorporated in the District) or a "Foreign" entity (that is, an entity that was incorporated in another state);

- Demonstrate that one hundred percent (100%) of the project deliverables occur within the District of Columbia;
- Register and comply with the regulatory requirements of the following agencies:
 1. District of Columbia Department of Consumer and Regulatory Affairs (DCRA) - Corporations Division (indicating an “active” business license status at the time of application, and agreeing to maintain such status throughout the grant period);
 2. District of Columbia Office of the Chief Financial Officer, Office of Tax and Revenue (OTR);
 3. District of Columbia Department of Employment Services (DOES); and
 4. United States Internal Revenue Service (IRS);
- Obtain certification of “Citywide Clean Hands” (CCH) from the District of Columbia Office of Tax and Revenue (see page 11);
- Be in “good standing” with CAH. Note: a CAH grant applicant that has failed, as of May 3, 2019, to comply with all applicable CAH-related mandates (e.g., failed to submit to CAH required reports related to prior CAH funding), is not in “good standing” with CAH and, accordingly, is ineligible to receive additional funds from CAH in FY 2020); and,
- Have a principal business office address that is located in the District of Columbia, subject to on-site visit. (Note: CAH will not allow post office boxes or the addresses of a board member or volunteer as evidence of the principal business address).

Applicants restricted from applying include:

- Individuals;
- Organizations that require “fiscal agents”;
- For-profit (commercial) entities;
- Tax-exempt organizations other than 501(c)(3) designated entities;
- Private foundations;
- Political organizations;
- Foreign governments;
- Colleges or universities;
- District of Columbia Government or Federal Government agencies, including DC Public Schools; and
- Private clubs, and organizations that prohibit membership based upon race, gender, color, religion or any other classes identified in the District of Columbia Human Rights Act of 1977.

Allowable Costs and Funding Restrictions

As an agency of the Government of the District of Columbia, CAH ensures that its grantmaking funds are expended in a fiscally responsible manner. CAH grant-related “allowable costs” are those costs that the District Government (through its subordinate agency, CAH) has determined, in its sole discretion, to be valid expenditures.

Examples of “Allowable Costs” Related to the Grant:

- Consultants’ fees for time-limited capacity building projects;
- Collateral materials relating to implementation of approved work plan projects;
- Hardware and software related to operations;
- Professional development trainings; and,
- Operating reserves.

Examples of “Unallowable Costs” Related to the Grant:

- Salaries for permanent positions;
- Programming expenses;
- Food and beverages;
- Re-granting (also known as “sub-granting”);
- Tuition and scholarships;
- Debt reduction;
- Costs related to fundraisers and special events;
- Travel not directly related to the execution of the project;
- Funding for universities, foreign governments, or DC government agencies, including DCPS.

Grantees with questions regarding allowable costs may contact the UPS grant program manager.

The Upstart grant period is from October 1, 2019 to September 30, 2020. CAH mandates that all of a grantee’s grant-funded activity expenses must be made during the District’s Fiscal Year 2020 (that is, from October 1, 2019 until the end of the day on September 30, 2020). Specific projects/programs underwritten by the grant must be completed by August 15, 2020.

Inclusion, Diversity, Equity, Access

In addition to detailed plans for its compliance with the Americans with Disabilities Act (ADA) (42 U.S.C. §§ 12101 et seq.), each applicant must demonstrate how the project will be inclusive, diverse, equitable and accessible throughout the District of Columbia, beyond participants with disabilities. Successful applications will consider a broad definition of “accessibility” by addressing financial, geographic, demographic, cultural and developmental access. For more information, see the Americans with Disabilities Act section of these RFA guidelines (page 13, below) and the CAH Grants Glossary, located in the [Guide to Grants](#). For reference, applicants may use this link to access the text of the ADA: (<https://www.law.cornell.edu/uscode/text/42/12101>).

Notwithstanding the fact that it has shared hyperlinks attached immediately above and later below, the District government does not represent that shared text of the ADA (or any other text) is the latest version of the subject law.

Technical Assistance and Workshops

CAH staff members are available to assist grant applicants through group or individual technical assistance. CAH staff members will not write applications for applicants. CAH staff members are available to review draft applications for thirty (30) minute appointments, on government business days up to one (1) week prior to the grant application deadline. Applicants should contact CAH to schedule a meeting by calling 202-724-5613. Please note that CAH requests the applicant prepare and deliver (by e-mail or via the online grants portal) their full draft application proposal along with any questions in advance of scheduling a meeting for agency staff assistance.

CAH conducts free workshops for participants to learn useful information about the agency's funding opportunities and how to submit a grant application. Workshop dates, times and locations listed below are subject to change. All workshops are free and open to the public; however, participants are strongly encouraged to RSVP. Photo identification is required to enter CAH offices. More information about the dates and times of these workshops may be found at www.dcart.dc.gov under [Grant Writing Assistance](#), or by calling CAH at 202-724-5613.

Day & Date	Time	Topic	Location
Friday, May 3, 2019	2:30 pm - 3:30 pm	Livechat	Online
Saturday, May 4, 2019	10:00 am - 11:30 am	Open Hours	CAH
Friday, May 10, 2019	2:30 pm - 3:30 pm	Livechat	Online
Saturday, May 18, 2019	2:00 pm - 3:30 pm	Open Hours	CAH
Thursday, May 23, 2019	2:30 pm - 4:00 pm	Upstart	Anacostia Library
Friday, May 24, 2019	2:30 pm - 3:30 pm	Livechat	Online
Tuesday, June 11, 2019	10:00 am - 11:30 am	Upstart	Tenley-Friendship Library

FY 2019 Upstart Grant Workshops locations:

Anacostia Library
1800 Good Hope Rd SE,
Washington, DC 20020

DC Commission on the Arts and Humanities (CAH)
200 I (Eye) Street SE, Suite 1400
Washington, DC 20003

Tenley-Friendship Library
4450 Wisconsin Avenue NW
Washington, DC 20016

On several Fridays during the application window, grants staff will be available for online Livechats, where applicants can type questions in the online chat box and receive immediate responses. To join, visit <https://dcarts.dc.gov/livechat>. No RSVP necessary.

DataArts

The DataArts Funder report is required for Upstart applicants. Those interested in participating in online DataArts workshops, should visit www.culturaldata.org.

Grant Application Process

1. Read the [FY 2020 Guide to Grants](#)
2. Read the RFA guidelines (for the desired grant program) and determine eligibility
3. Go to [Apply for Grants](#) and select [Grant Application Portal](#) to register as user
(Note: To reset a user password either select "Forgot your password?" or click [here](#))
4. Upon registration, applicants select the desired grant program(s)
5. Complete the application questions, budget and budget narrative data
6. Upload required documents, supplementary material and work samples
7. Double-check the application for thoroughness, clarity and typographical errors
8. Submit the application by 4:00 pm Eastern on the grant program's deadline date
9. Ensure receipt of grant submission confirmation e-mail (auto-generated by the online portal) by the application deadline

CAH utilizes an online grant portal to receive grant applications. All applications must be submitted online by 4:00 PM ET on Friday, June 21, 2019. A confirmation email generates automatically upon submission of the application. Technical issues or failure to receive a confirmation e-mail should be immediately brought to the attention of CAH staff. Incomplete or late applications or applications that do not follow the instructions and guidelines are deemed ineligible for review and funding. CAH does not accept mailed, emailed or hand-delivered copies of grant applications and/or the required attachments. CAH will accept reasonable accommodation requests from applicants with disabilities in advance of the application due date to assist them in submitting grant applications via mail, email or hand-delivery. To request a reasonable accommodation, contact David Markey at 202-724-5613 or david.markey@dc.gov and await request approval.

CAH's grant application process is competitive and subject to the availability of funds. Applicants may not request or receive funding for the same activities through more than one CAH program or grant category. Multiple applicants may not apply for funding for the same scope of work, whether through the same or different grant programs.

Applicants are fully responsible for the content of their application materials. An automated confirmation of an applicant's submission does not guarantee an applicant's eligibility, and therefore review by the advisory review panel (see below, "Review Process"). CAH staff is not permitted to make corrections to applications on behalf of applicants. CAH staff reviews applications for any incomplete or missing mandatory documents. Applicants are then responsible for providing the mandatory documents by the deadline set in CAH's email, which is typically three business days. Failure to do so will disqualify the application.

✓ **REMINDER:** The grant period is from October 1, 2019 to September 30, 2020. Grant funds may not be used for activities that occur outside of this grant period. Specific projects/programs underwritten by the grant must be completed by August 15, 2020.

Application Review Process

CAH selects individual practitioners, or professionals in the arts and humanities who are independent of CAH to serve as advisory review panelists for each grant program. The role of a panelist is to review and score an eligible application's content to the established grant program review criteria. Panelists participate in a group review of CAH grant applications, according to their cohort, to discuss and comment on the merits and deficiencies of applications and finalize their application-related scores in the presence of CAH staff and Commissioner Conveners.

CAH staff, Commissioner Conveners and panelists remain impartial in their review of CAH grant applications. CAH ensures that all involved recuse themselves from review of any application that presents a personal or professional conflict of interest (or the appearance of a conflict of interest).

CAH's grant application evaluation process takes into consideration general standards of decency and respect for the diverse beliefs and values of the American public consistent with The National Foundation on the Arts and Humanities Act, as amended in 1990. For more information regarding the grant review process please visit the [Guide to Grants](#). To volunteer or nominate a person to serve as an advisory review panelist for a grant program, see CAH's [FY 2020 Call for Panelists](#).

Live Panel Presentation

The executive director of eligible applicant organizations will be invited to give a live oral presentation for the panel. This live presentation is designed to supplement the online submission, increase equity for grassroots organizations and provide deeper insight for the panelists. Participation is mandatory. If the executive director is unable to attend, the board chair or the next-most senior staff member may present in their stead.

The panel will occur at 200 I (Eye) Street SW on Tuesday, August 6, 2019. Once grant applications have been submitted and reviewed for eligibility, CAH staff will contact applicants to schedule the timing of the live presentation.

Applicants will have five (5) minutes to address the panel regarding:

- Goals and intended outcomes of participating in Upstart;
- Whether the applicant has participated in capacity building recently, and why the applicant believes Upstart is the best way to address their needs;
- Whether this is the right time in the organization's lifecycle to participate in such an intensive process; and,
- Any concerns the applicant anticipates the panel to raise.

Please note:

- Participation is mandatory;
- The presentations are not intended to have a slide show or any other technological component;
- Applicants may not interact with panelists;
- Applicants will not be allowed to exceed the five minute limit; and,
- Dates are subject to change.

Notification and Payment of Grant Awards

CAH will notify applicants of this grant program as to the results of their application by October 1, 2019 via (1) letter of intention to award, (2) letter of ineligibility or (3) letter of denial.

For award recipients, the date of CAH grant award payment disbursement(s) is subject to the availability of funds and the processing of required documentation. CAH staff will advise grant award recipients on the payment disbursement process on or after October 1, 2019. CAH does not disburse grant award payments through its office. However, in collaboration with other District of Columbia government agencies, CAH processes the grant award payment requests for grantees in a timely manner. To expedite grant award payments, CAH advises grantees to register to receive a direct deposit for the grant award, by completing an Automated Clearing House (ACH) Vendor Payment Enrollment Form. The ACH Form may be found on CAH's website at [Managing Grant Awards](#). CAH also advises grantees to register in the electronic invoicing [DC Vendor Portal](#) system through which payments are processed.

Applicants must ensure that all compliance materials are uploaded and that all organizational data is current in the online portal before submitting an invoice.

Conditions of Funding, Reporting Requirements and Grant Rescindment

CAH reserves the right to rescind any and all grant awards for non-compliance with CAH grant guidelines, policies or regulations, at any time. FY 2020 grant recipients with unmet reporting obligations regarding any CAH funding program as of close of business on Friday, October 18, 2019 are ineligible to receive additional awards from CAH.

Reporting Requirements

Each grantee will be required to submit to CAH Interim and Final Reports regarding: (1) the extent to which they met their CAH grant award-related organizational and project goals; and (2) the quality of the engagement and responsibility to community that its funded projects or activities have had on the District of Columbia.

Each grantee's respective report must also include:

- Financial reporting regarding the funded activities that clearly shows how the subject grant funds were used;
- Proof of expenditures and related locations data;
- Numbers of people and communities served;
- Number of schools served (if applicable); and
- Numbers of local artists and youth engaged.

Upstart grantees are responsible for reporting their project progress, execution, and expenses to the Upstart consultant. Grantees who do not submit Final Reports are ineligible for further CAH funding.

Grant Management and Rescindment

Grantee agrees that it will include a CAH logo and a credit line in all of its grant-related announcements and promotional materials and that it will make its best efforts to publicly credit CAH's support for the project in all related public events.

CAH has the right to withhold, reduce or rescind a grant award according to the terms and provisions of the grant agreement or if the grantee exercises any of the following:

- Fails to meet deadlines for grant reports;
- Fails to notify CAH of changes in project collaborators or other significant management changes or changes in the project scope without advance approval;
- Refuses to provide access for monitoring;
- Fails to comply with the terms of the grant award contract requirements;
- Fails to demonstrate adequate financial management and oversight of the project; and/or
- Fails to properly publicly credit CAH's support of the organization's scope of work.

Citywide Clean Hands (CCH)

All applicants that are recommended for funding must obtain from the District of Columbia a "Citywide Clean Hands Certification", in order to receive a grant award from CAH. This certification is required before any related grant disbursement may be made. The CCH website application supports the "Clean Hands" Mandate (D. C. Code § 47-2862) which stipulates that individuals and businesses are to be denied District goods or services if there is a debt owed to the District of Columbia of more than one hundred dollars (\$100.00) for fees, fines, taxes or penalties. Applicants may visit the following site to obtain more information: <https://ocfocleanhands.dc.gov/cch/>.

Legal Compliance

Federal and District of Columbia law requires all grant applicants to comply with all applicable laws and regulations that regard non-discrimination. The list of those laws and regulations include: Title VI of the Civil Rights Act of 1964 (which provides that grant recipients must take adequate steps to ensure that people with limited English proficiency receive the language assistance necessary to afford them meaningful access to grant-related programs, activities and services); Title VII of the Civil Rights Act of 1964 (P.L. 88-352) (which prohibits discrimination on the basis of race, color, or national origin); Title IX of the Education Amendments of 1972, as amended (20 U.S.C. Sections 1681-1686) (which prohibits discrimination on the basis of sex); Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Section 794); the DC Human Rights Act of 1977; and the Americans with Disabilities Act of 1990 (42 U.S.C. §§12101 - 12213) (which prohibits discrimination on the basis of disabilities).

Americans with Disabilities Act

CAH is committed to ensuring that all grant recipients comply with the Americans with Disabilities Act (ADA) of 1990. The ADA provides civil rights protection to individuals with disabilities in the areas of employment, services rendered by state and local government, places of public accommodation, transportation and telecommunication services.

Organizations funded by CAH must make reasonable accommodations to ensure that people with disabilities have equal physical and communications access, as defined by federal law.

An organization applying for funding from CAH must include, in its grant application, a response to the information request set forth in the "Accessibility" section of its grant application, by providing the following information:

1. The process for formulating accessibility plans.
2. The current progress/status of an organization's physical accessibility. If the location is not barrier-free, include in the grant application a plan for project/program modification that ensures access in a barrier-free environment, when needed.

3. The current progress/status of the organization's accessibility in presenting activities – communications access (e.g. TDD, large print or Braille materials, audio description or assistive listening devices, interpreted performances, etc.) and marketing/advertising.

Credit/Acknowledgment

Grant recipient agrees that it will include a CAH logo or a credit line in all of its grant-related announcements and promotional materials and that it will make its best efforts to publicly credit CAH support in any and every public event that is held and that is related to the CAH's funding program and activities.

Risk Management and Performance Monitoring

All grant recipients are subject to risk assessments and monitoring requirements, as outlined in the District's [Citywide Grants Manual and Sourcebook](#) (which is primarily managed by the District's Office of Partnerships and Grant Services (OPGS)). CAH has established standards for grant recipients to ensure compliance with risk assessment monitoring, and those standards are discussed in greater detail in the applicants' grant agreements with CAH.

Activities funded by CAH will be monitored and evaluated by its staff, to assure compliance with all applicable District of Columbia's statutes, regulations, orders and other requirements. This monitoring process may include site visits, an evaluation of allowable costs, as assessment of efforts to meet projected grant applicant benchmarks, providing proof of expenditures, etc.

All grant recipients are responsible for reporting their respective grant award(s) as income on federal and local tax returns (in accordance with applicable law) and are strongly encouraged to consult with a tax professional and the United States Internal Revenue Service.

Contact Information

More information regarding CAH's grant programs, and clarification about related accessibility requirements, work sample submissions and grant making processes can be found in CAH's [Guide to Grants](#).

Specific questions about Upstart may be referred to CAH employee Benjamin Douglas at benjamin.douglas@dc.gov.

FY 2020 UPSTART (UPS)

APPLICATION REVIEW CRITERIA

Technical Assistance Concerns 40%

- Applicant demonstrates an unresolved, critical operational need (e.g. resource development cultivation, communications strategy, financial management systems, strategic or succession planning, technological systems) that could help propel its ability to effectively advance its mission;
- Participation in Upstart presents unique opportunities for the organization to produce stronger outcomes; and,
- Applicant's leader is prepared to participate and engage in peer-to-peer development and networking, which could be catalytic for the individual and organization.

Strength of Arts / Humanities Content and District Engagement 35%

- The extent to which, in alignment with its mission, the applicant's work samples and support materials demonstrate the highest standards of arts and/or humanities accomplishment;
- The applicant uses personnel with demonstrated arts, humanities and/or arts education expertise to plan and implement programs;
- The applicant actively promotes inclusion, diversity, equity and access for audiences, participants, staff and board; and,
- The applicant's mission and programs offer substantial value to DC audiences, providing deeper connection through community engagement.

Organizational Readiness 25%

- Organizational leadership demonstrates a readiness and willingness to participate in Upstart;
- The applicant demonstrates self-awareness about specific organizational challenges and technical deficiencies;
- The board of directors maintains sufficient oversight of the organization and is supportive of participating in capacity building; and,
- The applicant demonstrates internal financial capacity to administer and report on grant awards.

FY 2020 UPSTART (UPS) APPLICATION CHECKLIST

The following is a checklist for all mandatory and supplementary documents required for the UPS application, in addition to the required narrative questions within the online application portal. Documents must be uploaded as PDFs through CAH's online grant portal prior to the application deadline. Visit www.dcartz.dc.gov, click on the grants tab, select "Managing Grant Award" to obtain the OPGS Compliance Documents.

MANDATORY DOCUMENTS

- Work Samples
 - CAH recommends reviewing the Work Sample Addendum to determine what work samples would best represent your project and your organization.
- Support Materials i.e., up to three (3) internally-produced items (e.g. curricula, strategic plans, marketing materials, etc.) and up to three (3) externally-produced items (e.g. reviews, commendations, testimonials, letters of support, etc.)
- Résumés of Key Personnel (e.g. artistic/managing/executive directors, arts educators, etc. with roles, brief description of responsibilities and home addresses)
- Board of Directors List with member names, office held, start and end dates of term/term limit and professional occupation
- Board Minutes from the three most-recent board meetings
- Organizational Budget; current as approved by the organization's board of directors
- Profit and Loss Statement from most-recently completed fiscal quarter
- Balance Statement from most-recently completed fiscal year
- 2018 DataArts Funder Report including three most-recently available years of data
- DC Office of Partnerships and Grants (OPGS) compliance documents. (Templates and instructions available at: <http://dcarts.dc.gov/page/managing-grant-awards>)
 - Arrest and Conviction Statement
 - Certificate of Clean Hands, dated within thirty (30) days prior to the application deadline
 - Certificate of Liability Insurance – general coverage
 - Copy of IRS 501(c)(3) Letter of Determination
 - Statement of Certification (must be signed at time of application submission)
 - Signed IRS Form W-9 (Note: Post office boxes are prohibited). Address must match exactly the address in CAH's grant application portal.

Addendum A: Work Samples and Supplementary Materials

The DC Commission on the Arts and Humanities (CAH) values and emphasizes excellence in all grant programs within all disciplines. This section contains detailed information on the CAH's requirements and suggestions regarding content.

Arts and humanities content and/or merit are one of several criteria on which an application is reviewed. Other criteria include: District Engagement and Responsibility to Community, Financial Capacity, Management and Sustainability, and others as dictated within the RFA guidelines. Arts and humanities content and/or merit is demonstrated to the advisory review panelists through the applicant's:

Section 1 - Work Samples

Section 2 - Support Materials

Section 3 - Résumés of Key Personnel

Section 4 - General Suggestions from CAH Staff

Of these, the work sample carries the most weight because it must contain the clearest depiction of the applicant's best work(s) of art and/or humanities. All applicants must submit arts and/or humanities work samples or demonstration of content of services provided to artists and humanities practitioners.

To further assist the applicant in submitting strong artistic content with an application, general suggestions are provided in Section 4 (below).

Section 1 - Work Samples

Work samples are critical to each application and are carefully considered during application review. CAH strongly recommends that applicants pay close attention to the content of work sample submissions.

The guidelines on what to submit within a work sample submission depend on the grant application. Applicants must adhere to the work sample requirements below in order to be eligible for consideration of a grant award.

Work samples must be no more than three (3) years old from the date of submission. Submitting older work samples will render the application ineligible for funding consideration.

Arts Education (multigenerational or adults)	
	Includes video and audio excerpts, writing samples and student art work. Syllabi and lesson plans should be included in support materials, unless created by teaching artists and teachers in professional development projects.
	Educational materials are also acceptable alongside the artistic work sample.
Crafts	
	Individuals - Submit digital images of up to ten (10) different works
	Organizations - Submit up to twenty (20) digital images of different works
	Applicants must create an image identification list of the images uploaded and should arrange the list in the order of viewing preference. Title the page with the words "Image Identification List" and the applicant's name. For each image, include the artist's name, artwork title, medium, size and the year the work was completed. Digital images must be numbered to correspond with the Image Identification List.
Dance	
	Submit up to two (2) three-five-minute video recordings of performances or identify a performance piece on which the panelists should focus.
	Submit an ensemble selection unless the applicant is a soloist or the project involves a solo.
Design Arts	
	Individuals - Submit digital images of up to ten (10) different works.
	Organizations - Submit up to twenty (20) digital images of different works.

	Applicants must create an image identification list of the the JPEG images uploaded and should arrange the list in the order of viewing preference; Title the page with the words "Image Identification List" and the applicant's name. For each JPEG image, include the artist's name, artwork title, medium, size and the year the work was completed. JPEG digital images must be numbered to correspond with the image identification list.
Humanities (e.g. archaeology, comparative religion, ethics, history museums and historic homes, jurisprudence, language and linguistics, philosophy, historical geography, fiction and non-fiction writing etc.)	
	Up to three videos of programs that are up to five minutes each; Up to three PDFs of program materials (e.g. self-guided tour materials, live program transcript, lesson plan or script for a docent-led tour); Up to ten images of key objects from the collection, with an image identification list; Up to five screenshots of digital humanities offerings; or up to three PDFs of original scholarship (published or forthcoming works).
Interdisciplinary	
	Individuals and organizations: up to ten (10) digital images or up to two (2) audio/video recordings demonstrating the integration of disciplines in the work.
Literature (e.g. poetry, fiction, creative writing, screenwriting, spoken word, etc.)	
Fiction and Creative Nonfiction Writing	Ten (10) to twenty (20) pages from no more than three (3) short works, or a portion from no more than two (2) larger works up to twenty (20) pages.
	Applicants must label the work(s) as fiction or nonfiction.
	If the work is an excerpt, applicant should include a one-page statement in the manuscript about where it fits into the whole to orient the reviewers.
Poetry	Submit ten (10) to fifteen (15) pages of poetry from no fewer than five (5) poems, not to exceed ten (10) poems.
	Shorter poems should be printed on separate pages.

Spoken Word	In addition to the poetry requirements above, submit video recordings of three (3) contrasting pieces.
Media Arts	
Film, Video, Radio	Applicants must submit up to two (2) audio/video recordings of completed work or work-in-progress.
Multi-disciplinary	
	Provide the required work samples (as described herein) for two (2) (minimum) or three (3) (maximum) of the artistic disciplines that are relevant to the grant request.
Music	
	Up to three (3) audio/video recordings.
	Selections must not exceed five (5) minutes.
	Upload each selection in a separate file.
Photography	
	Individuals - Submit digital images of ten (10) different works.
	Organizations - Submit twenty (20) digital images of different works.
	Applicants must create an image identification list of the the JPEG images uploaded and should arrange the list in the order of viewing preference; Title the page with the words "Image Identification List" and the applicant's name. For each JPEG image, include the artist's name, artwork title, medium, size and the year the work was completed. JPEG digital images must be numbered to correspond with the image identification list.
Theatre	
Actors	Submit video recordings of two (2) contrasting monologues.
	Still images of productions are prohibited.
Costume, Lighting, or Set Designers	Submit up to three (3) videos of up to five minutes, and/or (3) still images that best showcase the designer's work.
Directors	Submit a copy of a one to three (1-3) page concept statement of a recently directed play.

Organizations	Submit up to two (2) video recordings of performances.
	Digital images of productions are prohibited.
	Playbills and programs are prohibited as work samples. However, they may be included as support material.
Playwrights	See LITERATURE, above.
Sound Designers	Submit up to three (3) audio recordings.
Visual Arts	
	Individuals - Submit digital images of up to ten (10) different works.
	Organizations - Submit up to twenty (20) digital images of different works.
	Applicants must create an image identification list of the JPEG images uploaded and should arrange the list in the order of viewing preference; Title the page with the words "Image Identification List" and the applicant's name. For each JPEG image, include the artist's name, artwork title, medium, size and the year the work was completed. JPEG digital images must be numbered to correspond with the image identification list.
Art Bank: The Washingtonia Collection (Fine Art Acquisitions)	
	Individuals - Submit digital images of up to five (5) works of art available for acquisition by CAH
	District galleries and organizations - Submit images of up to ten (10) works of art by DC resident artists

Section 2 - Support Materials

Support materials are documents that strengthen the application and provide additional information that directly relates to the grant request. Support materials do not take the place of a work sample. They do, however, reinforce the quality of the applicant's arts and humanities disciplines(s).

Some examples of supporting materials are:

- Theater/exhibition reviews
- Letters of recommendation
- Certificates of achievement or recognition
- Sample lesson plans
- Assessments and evaluations
- Awards

Assessment and Evaluations

Purpose:

- To determine the efficacy of a program, as articulated in the program goals and as required for grant reporting.
- To provide evidence to support changes in order to improve the program and its delivery.

Types:

- Qualitative assessment is often subjective in approach and narrative in nature.
- Quantitative assessment provides empirical data that demonstrates growth in the knowledge, skills and understandings of the participants.

Assessment and Evaluation Design

There are many ways to assess and evaluate programming including: needs assessments, pre- and post-testing, and formative, observational and summative assessments that utilize mixed method approaches such as portfolio assessment.

Section 3 - Résumés of Key Personnel

Another way for the advisory review panelists to determine the artistic content of each application is to review the résumés of the key artists, administrators and facilitators involved in the grant activities. Those professionals involved in the organization determine the capacity of the organization and ability for the applicant to effectively create an excellent arts and humanities product and/or experience. Their backgrounds as artists and administrators should be relevant to the organization and clearly demonstrated through their professional résumés.

Section 4 - General Suggestions from CAH Staff

When creating and preparing work samples, supporting materials and résumés, CAH recommends considering the following:

- Applicant should be able to view and/or play all work samples in the application before submitting. If a sample cannot be played, then panelists will experience the same.
- Select recent, high quality samples that relate as directly to the application as possible.
- Photograph uploads should be in JPEG (or JPG) format with a 72 dpi minimum resolution and should not exceed 20MB in size.

- Adding more than the recommended number of work samples to an application will often weaken it.
- Carefully chosen work samples (pictures, videos, excerpts, etc.) tend to make the biggest impact and create the strongest artistic impression.
- Advisory review panelists are required to review each applicant's work samples; however, they are not guaranteed to review multiple work samples within the same application.
- Each work sample and document must give the specific name and title, so that panelists can identify what they are reviewing.
- For project-based grants, include samples of similar projects completed to illustrate an ability to execute the proposed project.
- Panelists must be able to assess the skill level of the artist(s) involved in the project work to be created, exhibited or taught.

For video submission:

- Do not include highly edited commercial/promotional video as a work sample.
- Do not include poor quality video samples or samples with dim lighting, unstable video, bright backlighting or blurred images.
- If the video work sample is longer than five (5) minutes, indicate the embedded timecode of the video where panelists should begin viewing the work sample (e.g. 5:05:00).

For online materials and websites:

- A website is often an insufficient work sample. Submit a website only if it is an essential part of the project.
- Provide all passwords or include any necessary information required to view the work sample, such as plug-ins or navigation paths.
- Ensure links to online materials or websites are fully functional and up-to-date. An inoperative link to a website containing a work sample will negatively affect the application. CAH is not responsible for any material obtained outside of its online grants portal, GDG.

